Ogden Air Logistics Center

Innovation and Excellence

OFFICER & ENLISTED EVALUATION SYSTEM (OES/EES)

1Lt Roy Dietzman
75th Mission Support Squadron

7 May 2001

Overview

- General Information
- Performance Feedback
- Performance Reporting (OPR/EPR)
- Where to Go For Help

General Information

- AFI 36-2406, *Officer and Enlisted Evaluation Systems*

- Purpose of OES/EES
  - Provide Feedback
  - Record Performance
  - Provide Personnel Managers Critical Information

- OES/EES Training
  - Implemented in May 1996
  - Mandatory for First-time Supervisors
  - Recurring Training

Performance Feedback

- Purpose
  - Private, Formal Communication
  - What Is Expected From Ratee
  - How Well Expectations Are Being Met

- Ratee Responsibilities
  - Know When Sessions Are Due
  - Request If Needed
  - Notify Rater/Rater's Rater When Not Given
  - Sign Performance Feedback Worksheet and Rater's Copy of Feedback Notice

Performance Feedback

- Rater Responsibilities
  - Prepare, Schedule, Conduct Feedback
  - Stay Aware of Standards and Expectations
  - Provide Realistic Feedback
  - Provide *Original* PFW to Ratee
  - Provide Copy of Feedback Notice to CSS
  - Use Other Forms of Documentation for Poor Behavior
- Unit Commander Responsibilities
  - Administer Performance Feedback Program
  - Ensure Proper and Timely Feedback
  - Discipline and Remove Raters

Performance Feedback

- Who Requires Feedback
  - Mandatory for All 2Lt – Lt Col
  - Mandatory for All Enlisted
- Types of Feedback
  - Initial
  - Midterm
  - Follow-up
  - Ratee Requested

Performance Feedback

- Feedback Requirements
  - CMSgt or Col – Initial Only
  - MSgt/SMSgt or Maj/LtCol – Initial & Midterm
  - AB thru TSgt (20+ Months TAFMS) – Initial, Midterm & Follow-Up
  - AB thru A1C (-20 Months TAFMS) – Initial & Midterm

Performance Feedback

- Performance Feedback Notice
  - 30 Days After Supervision Begins (for Initial and Follow-up)
  - Halfway Between Supervision Start Date and Projected Close-out or Every 180 Days (for Midterm)
  - Serves As a Reminder Only
  - Failure to Receive *Does Not* Justify Not Conducting Feedback

- Performance Feedback Worksheet (PFW)
  - Outlines Issues Discussed
  - Serves As a Guide Only, Not a Transcript
  - Scale Marks in Section III Not Required for Initial Feedback

Performance Feedback

- Disposition and Access
  - Original PFW to Ratee
  - Copy to Rater for Personal Reference
  - PFW *Will Not* Be Made an Official Part of *Any* Personnel Record nor Used in Any Personnel Action
  - Ratee May Use the PFW As He/She Desires
  - PFW Reviewed by Rater and Ratee Only
    - AD SNCOs: Sq/CC Authorized Access
    - AD TSgt & Below: Additional Rater, Rater's Rater, and Sq/CC Authorized Access
- Failure to Conduct or Document Feedback

Performance Reporting

- Rater Requirements
  - An Officer or NCO (for Enlisted) of a US or Foreign Military in a Grade Equal to or Higher Than the Ratee
  - A Civilian (GS-5 or Higher) in a Supervisory Position Higher Than the Ratee
  - AD Duty SrA May Serve As Raters *Only* Upon Completion of Airman Leadership School
  - IMA Rater Will Not Normally Be Another IMA

Performance Reporting

- Additional Rater Requirements
  - Officers
    - Same Grade or Higher Than Rater and a Grade Higher Than the Ratee (Except Health Professions Officers)
    - Colonels May Be the Additional Rater for a Colonel
  - Enlisted
    - Same Grade or Higher Than Rater and a Grade Higher Than the Ratee
    - At Least a MSgt, GS-7 or Higher
  - For IMAs – Must Meet Same Criteria *and* Be on AD

Performance Reporting

- Reviewer/Final Evaluator Requirements
  - Lt Col/Col – First General Officer in Rating Chain Designated As a Senior Rater
  - Lt Thru Maj – First Colonel in a Wing Commander Position Designated As a Senior Rater
  - SNCOs – At Least a Maj or GS-12 or Higher

- Final Evaluator Restrictions (SNCOs)
  - *Must* Be Time-in-grade Eligible to Receive a Senior Rater Endorsement
  - Only One B-level Evaluator May Sign a Report and Must Be the *First* B-level in the Rating Chain

Performance Reporting

- Rater Responsibilities
  - Ensure Ratee Knows Their Rating Chain
  - Review Ratee's PIF & UIF Before Writing OPR/EPR
  - Assess & Document Ratee's Potential Based on Performance
  - Get Meaningful Information From As Many Sources As Possible
  - Consider Significance & Frequency of Incidents When Assessing Total Performance
  - Accurately Record Ratee's Performance
  - Differentiate Between Ratees With Similar Performance Records

Performance Reporting

- Mandatory Comments
  - Explain Any Significant Disagreement With Previous Evaluator
    - A Significant Disagreement Is Any Change in Ratings or Statement That Indicates Obvious Disagreement
  - Comments Relating to Ratee's Behavior If Convicted by a Court-martial
  - If Performance Feedback Was Not Accomplished, Comment on That Fact Is Mandatory
    - Must Be Honest, Plausible and Specific
    - "Non-receipt of Feedback Notice" and "Administrative Oversight" Are *Not* Acceptable Reasons

Performance Reporting

- Inappropriate Considerations & Comments
  - Promotion Recommendations for Officers
  - Unrealistic Promotion Recommendation for Enlisted
  - Duty Performance Outside Current Reporting Period
  - Previous Reports or Ratings
  - Performance Feedback (Except in Certification Block)
  - Events Occurring After Close-out Date
  - Prior Events
  - Conduct Based on Unreliable Information
  - Any Action That Resulted in Acquittal
  - Actions Taken Outside Normal Chain of Command That Represent Guaranteed Rights of Appeal

Performance Reporting

- Inappropriate Considerations & Comments (cont.)
  - A Recommendation for a Decoration
  - Race, Ethnic Origin, Gender, Age or Religion of Ratee
  - Drug or Alcohol Abuse Rehabilitation Programs
  - Score Data on the WAPS Score Notice, Board Scores, Test Scores, Etc.
  - Family Activities or Marital Status
  - The Term “Senior” on OPRs
  - Broad Statements Outside the Scope of the Evaluator’s Responsibility or Knowledge
  - Grades or Positions Higher Than the Ratee Holds

Performance Reporting

- Inappropriate Considerations & Comments (cont.)
  - Assignment and PME Recommendations on OPRs That Are Inconsistent With Current Grade
  - An Officer's Decision to Accept or Decline Aviator Continuation Pay
  - Separation or Retirement Status
  - Punishment Received From Administrative or Judicial Action

Performance Reporting

- Suspenses
  - Do Not Suspense Rater's to Submit Completed Reports Any Earlier Than 5 Duty Days After Close-out
  - Due to MPF NLT 30 Days After Close-out
  - Officer and SNCO Reports Due to HQ AFPC NLT 60 Days After Close-out

Performance Reporting

- Referral Reports
  - Refer a Report to the Ratee When:
    - An OPR Contains a “Does Not Meet Standards” Marking
    - An EPR With a Marking to the Far Left in Section III
    - An EPR With a Rating of “1”
    - Comments Which Are Derogatory in Nature
    - Comments Which Imply/refer to Behavior Not Meeting Minimum Acceptable Standards
    - Comments Which Refer to Disciplinary Actions
  - Do Not Make Non-specific/vague Comments
  - When Referencing Any Punitive or Administrative Action, Identify the Underlying Conduct or Behavior

Performance Reporting

- Referral Reports (cont.)
  - A Report May Be Referred More Than Once
  - 10 Days to Provide Comments to Next Evaluator
  - Ratee's Comments Limited to 10 Pages
    - May Not Reflect on Character, Conduct, Integrity, or Motives of an Evaluator Unless Fully Substantiated
    - Become a Part of the Report Filed in the Personnel Record
  - Failure to Provide Comments Does Not Prevent the Ratee From Appealing the Report After It Is a Matter of Record
  - Evaluators May Use an AF Form 77 to Continue Comments

Performance Reporting

- Administrative Considerations
  - *Do Not*
    - Use Correction Tape
    - Correct Ratings
    - Underline, Capitalize, Use Bold Print, Unusual Fonts, Multiple Exclamation Marks, or Headings for Emphasis
    - Sign Blank Forms or Forms Not Containing Ratings
    - Sign Before Close-out
    - Back Date Signatures
  - Use Bullet Format - Limited to Three Lines Per Bullet
  - Avoid Nicknames, Code Names, and Acronyms
  - Acronyms or Abbreviations Common Throughout the AF Are Not Required to Be Spelled Out First

Where to Go For Help

- Need Help?
  - Refer to AFI 36-2406
    - Table 3.1, Detailed Instructions for OPRs
    - Table 3.2, Detailed Instructions for EPRs
  - www.afpc.randolph.af.mil/evaluations
  - Contact Your Commander Support Staff
  - Contact MPF Evaluations: 777-2064/1705

Summary

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- Performance Feedback
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Executive Officer Perspectives

Capt Joel Hanson
OO-ALC Command Section

7 May 2001

Rules of Thumb

- Clear Expectations
- Learn the System
- Details, Details, Details

Bottom Line

We as supervisors owe it to those we rate to provide the best possible product within the framework of the evaluation system…not just for promotion boards, but for many other reasons such as interviewing for jobs, competing for awards, etc.

Clear Expectations

- Starts with Feedback
  - Review past performance
- Emphasize Whole Person Concept
  - Expand comfort zone
  - Make short / long term goals
- Track / Review Accomplishments
  - Create and update a file continually

Learn the System

- Read the AFI 36-2406, Hill AFB EPR / OPR / PRF Guide
  - Answers most questions
- Website Tools are Your Friend
  - Check other HQ and Base level sites
- Ask Questions
  - Of Peers, your MPF, Chain of Command

Details, Details, Details

This is Where the Rubber Meets the

Road!

- Timeliness
- Accuracy
- Factual Content

Timeliness

- Know Milestones
  - What are the suspenses?
- Don’t Just Hand in and Forget to Track Until Final
  - Important especially if meeting boards
- Don’t Procrastinate

Accuracy

- Minor vs Major Corrections
- Read, Read, and Read Again
- Pride in Perfect Product !!!

Factual Content

- Can Only be One #1
- Give Credit Where Credit is Due
- Focus on the First and Last Lines
  - Carry the most weight
  - Job recommendations?
  - School recommendations?

Summary

- Communicate
- Learn
- Execute

QUESTIONS ???